
 <p>State of Connecticut Department of Correction</p> <p>ADMINISTRATIVE DIRECTIVE</p>	Directive Number 8.9	Effective Date 6/30/2009	Page 1 of 5
	Supersedes Health Services Review, dated 1/1/2008		
Approved By 	Title Health Services Review		

1. Policy. The Department of Correction shall establish a Health Services Review as the administrative remedy for all health services to enable an inmate to seek formal review of any health care provision, practice, diagnosis or treatment. Review of health care services enables the Department to identify individual and systemic problems, to resolve health care issues in a timely manner and to facilitate the accomplishment of its mission.
2. Authority and Reference.
 - A. Connecticut General Statutes, Section 18-81.
 - B. Administrative Directives 4.7, Records Retention; and 8.1, Scope of Health Services Care.
3. Definitions. For the purposes stated herein, the following definitions apply:
 - A. Designated Facility Health Services Director. The person in charge of one (1) or more Health Services Administrators.
 - B. Health Services Administrator. The person in charge of a health services unit.
 - C. Health Services Appeal. A request for reconsideration of a Health Services Review decision.
 - D. Health Services Review Appointment. A consultation with a physician, requested by an inmate to review an existing diagnosis or treatment.
 - E. Health Services Review Coordinator (HSR Coordinator). An employee of the unit designated to coordinate the process of the Health Services Review.
 - F. Health Services Unit. An organizational component of the health services system, not including a housing unit.
 - G. Review. A review by an authorized health services staff member of: (1) an existing diagnostic or treatment decision, including a decision to provide no treatment; (2) an established policy, provision, procedure or practice, or the need for such; or (3) an allegation of improper staff conduct.
 - H. Utilization Review Committee. A panel of three physicians who review requests for specialty health service evaluation, treatment and/or diagnostic testing, from a facility dentist, physician, Physician's Assistant or an Advanced Practice Registered Nurse.
4. Notice.
 - A. This Directive shall be published in English and Spanish. Each inmate and health service provider shall be issued a written summary of this Directive. An inmate whose primary language is Spanish shall receive a copy written in Spanish. Appropriate provision shall be made for those who do not read, speak or understand English and Spanish. Inmates who are impaired or disabled shall receive assistance as necessary.
 - B. English and Spanish copies of this Directive shall be available in each inmate library and shall be provided to an inmate upon request.

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- C. An inmate shall receive oral instruction about the Health Services Review, and the means of filing a request for review. This instruction shall encourage questions and take place as part of the orientation curriculum, not later than two (2) weeks after admission.
 - D. Upon transfer, an inmate shall be informed of the Health Services Review at the receiving facility.
 - E. Timely instruction regarding this Directive shall be provided to all affected staff during pre-service or in-service training.
- 5. Access. Each inmate in the custody of the Commissioner of Correction shall have access to the Health Services Review.
- 6. Depositories and Collection. Each request for Health Services Review shall be submitted by depositing the request in a locked box clearly marked as 'Health Services'. The Unit Administrator shall ensure that these boxes are properly labeled and available in each housing unit. The Health Services Administrator shall assign staff to collect the contents of the boxes, and shall establish a regular and timely collection schedule.
- 7. Health Services Administrator (HSA). Each Health Services Administrator shall ensure that notice of the Health Services Review is provided to each inmate. The Health Services Administrator shall establish the scope of authority and the duties necessary to implement and administer the Health Services Review for the unit.
- 8. Health Services Review Coordinator (HSR Coordinator). The Health Services Administrator shall appoint two employees of the Health Services Unit to be Health Services Review Coordinators, one to serve as the primary Health Services Review Coordinator and one to serve as a backup. The Health Services Administrator shall arrange for the training of each Health Services Review Coordinator. The Health Services Review Coordinator shall:
 - A. ensure that instruction about the Health Services Review is included in the inmate orientation curriculum;
 - B. ensure that CN 8901, Appeal of Health Services Review is available in all housing units;
 - C. ensure that the collection of requests from Health Services boxes is regular and timely;
 - D. ensure that Health Services Review requests are properly logged and routed for evaluation and response; and,
 - E. assist the Health Services Administrator to act within the scope and purpose of the Health Services Review.
- 9. Types of Review. There are two types of Health Services Review:
 - A. Review of a Medical Decision. A review of a diagnosis or treatment, including a decision to provide no treatment, relating to an individual inmate.
 - B. Review of an Administrative Issue. A review of a practice, procedure, administrative provision or policy, or an allegation of improper conduct by a health services provider.
- 10. Review of a Medical Decision. An inmate, who is dissatisfied with a diagnosis or treatment that pertains to him/herself, may apply for a Health Services Review by checking the 'Diagnosis/Treatment' box on CN 9602, Inmate Administrative Remedy Form, explaining concisely the cause of

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his/her dissatisfaction, and depositing the completed form in the Health Services box. The inmate should provide a concise statement of what he/she believes to be wrong and how he/she has been affected. A properly submitted request for Review of a Medical Decision shall be handled according to the following procedures:

- A. Upon receipt of CN 9602, Inmate Administrative Remedy Form, the HSR Coordinator shall contact the inmate within 10 days in writing or in person, to determine if informal resolution can be reached. If informal resolution cannot be obtained, the HSR Coordinator shall schedule a Health Services Review Appointment (HSRA) with a physician, as soon as possible, at no cost to the inmate, to determine what action, if any, should be taken. If the physician decides that the existing diagnosis or treatment is appropriate, the inmate shall have exhausted the health services review. The physician shall notify the inmate of the decision, in writing within ten (10) business days by indicating 'No Further Action' in the disposition field of CN 9602, Inmate Administrative Remedy Form.
 - B. If the physician decides that a different diagnosis or treatment is warranted, he/she may either (1) act on his/her decision; or, (2) refer the case to the Utilization Review Committee for authorization by indicating 'Change of Treatment' or 'Referred to URC', as appropriate, in the disposition field of CN 9602, Inmate Administrative Remedy Form.
 - C. In the case of Sections 10(A) or 10(B) of this Directive, the physician shall make an entry in the inmate's health record denoting the visit as a Health Services Review Administrative Remedy, 'HSR Administrative Remedy' in addition to any medical notations.
 - D. If the physician refers a case to the Utilization Review Committee, Attachment A, HR 202, Utilization Review Request shall be completed and reviewed according to the contracted health services provider's Utilization Review policies.
 - E. If the Utilization Review Committee denies a physician's recommendation/opinion of a treatment or diagnosis, an appeal may be initiated by the physician, using Attachment A, HR 202, Utilization Review Request.
 - F. If an inmate receives a Health Services Review, and no change in diagnosis or treatment results from this review, he/she may not request a second review for this same issue unless his/her clinical situation has changed significantly since the first review. In addition, a request previously submitted to and rejected by the Utilization Review Committee may not be resubmitted for the Health Services Review.
 - G. If the review concerns dental services, the inmate shall be scheduled to see a dentist, who shall handle the review in the manner described above.
 - H. If the review concerns mental health services, the inmate shall be scheduled to see a supervising psychologist, who shall handle the review in the manner described above, except that mental health care is not subject to review by the Utilization Review Committee.
11. Review of an Administrative Issue. An inmate who is affected by a circumstance as described in Section 9(B) of this Directive may request a review of a practice or procedure by checking the 'All Other Health Care Issues' box on CN 9602, Inmate Administrative Remedy Form, and depositing it in the Health Services box. The inmate should provide a concise statement of what he/she believes to be wrong and how he/she has been

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affected. A properly submitted request for Review of an Administrative Issue shall be handled according to the following procedures:

- A. Upon receipt of CN 9602, Inmate Administrative Remedy Form, the HSR Coordinator shall contact the inmate within 10 days in writing or in person, to determine if informal resolution can be reached. If informal resolution cannot be obtained, the HSR Coordinator shall refer the matter to the unit's Health Services Administrator for instruction as to any investigation that may be necessary. Within thirty (30) business days the Health Services Administrator shall inform the inmate in writing of the disposition of the review by indicating 'Denied, Compromised or Upheld' in the disposition field of CN 9602, Inmate Administrative Remedy Form.
- B. If the inmate is dissatisfied with the response, the inmate may appeal within ten (10) business days by completing CN 8901, Appeal of Health Services Review and depositing it in the Health Services box.
- C. The appeal shall be decided by the contracted health services provider (designated facility health services director or designee) within fifteen (15) business days of receiving the appeal, and the inmate shall be promptly notified. For all issues relating to compliance with existing standards, this review shall be final; the inmate shall have exhausted the health services review process.
- D. If the matter relates to a health services policy of the Department, the inmate may appeal to the DOC Director of Health and Addiction Services within ten (10) business days of receipt of the response from the contracted health services provider (designated facility health services director or designee) by completing CN 8901, Appeal of Health Services Review and depositing it in the Health Services box.
- E. Within thirty business (30) days of receipt of a policy review, the DOC Director of Health and Addiction Services or designee shall notify the inmate of the decision. Upon receipt of this decision the inmate shall have exhausted the Health Services Review.

12. Records.

- A. A log of each Health Services Review request and appeal shall be maintained by the HSR Coordinator.
- B. A file of each Health Services Review request and appeal shall be maintained by the HSR Coordinator, containing copies of the forms that have been used in the review or appeal.
- C. The health record of each inmate who has applied for a Review of a Medical Decision shall contain a copy of the forms used in the Review, notations in the medical chronology, including a notation of 'HSR Administrative Remedy'.
- D. The Health Services Review files of individuals shall be subject to HIPAA standards.
- E. Health records shall be retained for twenty-five (25) years and administrative records shall be maintained for three (3) years in accordance with Administrative Directive 4.7, Records Retention.

13. Monitoring and Evaluation. The contracted health care provider shall keep an electronic log of all reviews and appeals along with the final disposition of all reviews and appeals. The electronic log shall be reviewed by the HSA quarterly for timeliness and appropriateness of response.

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The Director of Health and Addiction Services or designee shall have access to the electronic log and shall receive a hard copy report from the HSA upon request.

14. Forms and Attachments. The following forms and attachments are applicable to this Administrative Directive and shall be utilized for the intended function:
 - A. CN 8901, Appeal of Health Services Review;
 - B. Attachment A, HR 202, Utilization Review Request; and,
 - C. Attachment B, Health Services Review Routing Chart.
15. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require prior written approval from the Commissioner.